

PATENT  
203/268Honorable Commissioner of Patents and Trademarks  
Washington, D.C. 20231

## NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of:

Inventor(s): <sup>1-00 e.f.d</sup> BOEHM, Marcus F.; HEYMAN, Richard A.; ZHI, Lin;  
and KOCH, Stacie CananFor (title): COMPOUNDS HAVING SELECTIVE ACTIVITY FOR RETINOID X  
RECEPTORS, AND MEANS FOR MODULATION OF PROCESSES  
MEDIATED BY RETINOID X RECEPTORS

## 1. Type of Application

This new application is for a(n):

- ☒ Original  
☐ Design  
☐ Divisional  
☐ Continuation  
☐ Continuation-in-part (CIP)

## 2. Benefit of Prior U.S. Application(s) (35 USC 120)

- ☒ The new application being transmitted herewith claims the benefit of prior U.S. application Serial No. 08/052,051 filed April 21, 1993, and U.S. application Serial No. 08/027,747 filed March 5, 1993, and U.S. application Serial No. 08/003,223 filed January 11, 1993, and U.S. application Serial No. 07/944,783 filed September 11, 1992, and U.S. application Serial No. 07/872,707 filed April 22, 1992.

## CERTIFICATE OF MAILING (37 CFR 1.10)

I hereby certify that this paper and the documents referred to as enclosed therein are being deposited with the United States Postal Service on the date shown below with sufficient postage in an envelope as "Express Mail Post Office to Addressee" addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Mailing Label No.: TB234566178US

Hope E. Melville  
Name of Person Mailing Paper

Date of Mailing: October 22, 1993

  
Signature of Person Mailing Paper



PATENT  
203/268

3. **Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b) (Regular) or 37 CFR 1.153 (Design) Application**

101 Pages of Specification

12 Pages of Claims

1 Pages of Abstract

12 Sheets of drawing

     formal

  x   informal

     in triplicate

4. **Additional papers enclosed**

     Preliminary Amendment

     Information Disclosure Statement

     Form PTO-1449

     Citations

     Declaration of Biological Deposit

     Authorization of Attorney(s) to Accept and Follow Instructions from Representative

     Special Comments

     Other

5. **Declaration or oath**

     Enclosed

executed by (check all applicable boxes)

     inventor(s).

     legal representative of inventor(s). 37 CFR 1.42 or 1.43



PATENT  
203/268

— joint inventor or person showing a  
proprietary interest on behalf of inventor  
who refused to sign or cannot be reached.

— this is the petition by 37 CFR 1.47 and  
the statement required by 37 CFR 1.47 is  
also attached. See item 13 below for  
fee.

x Not enclosed.

x Application is made by a person authorized  
under 37 CFR 1.41(c) on behalf of all the  
above-named inventor(s). The declaration and  
oath, along with the surcharge required by 37  
CFR 1.16(e) will be filed subsequently.

#### 6. Inventorship Statement

The inventorship for all the claims in this application are:

x the same

or

— not the same. An explanation, including the  
ownership of the various claims at the time the  
last claimed invention was made,

— is submitted.

— will be submitted.

6A. x This application discloses and claims additional  
disclosure and a new declaration or oath is being  
filed. With respect to the prior application(s)  
the inventor(s) in the application are:

— the same

x the following additional inventor(s) have  
been added: Stacie Canan Koch

#### 7. Language

x English

— non-English

— the attached translation is a verified  
translation. 37 CFR 1.52(d).



PATENT  
203/268

8. Assignment

\_\_\_ An assignment of the invention to  
\_\_\_ is attached.  
X will follow.

9. Certified Copy

Certified copy(ies) of application(s)

(country)	(appln. no.)	(filed)
(country)	(appln. no.)	(filed)
(country)	(appln. no.)	(filed)

from which priority is claimed

\_\_\_ is(are) attached  
\_\_\_ will follow.

10. Fee Calculation

A. X Regular Application

CLAIMS AS FILED				
Number Filed	Number Extra	Rate	Basic Fee	
			\$710.00	
Total				
Claims	- 20 =	X \$ 22.00	\$	
Independent				
Claims	- 3 =	X \$ 74.00	\$	
Multiple dependent claim(s), if any		\$230.00	\$	

\_\_\_ Amendment cancelling extra claims enclosed.  
\_\_\_ Amendment deleting multiple dependencies enclosed.  
\_\_\_ Fee for extra claims is not being paid at this time.

Filing Fee Calculation \$\_\_\_\_\_

B. \_\_\_ Design Application  
(\$290.00 - 37 CFR 1.16(f))

Filing Fee Calculation \$\_\_\_\_\_

11. Small Entity Statement(s)

\_\_\_ Verified Statement(s) that this is a filing by a small entity under 37 CFR 1.9 and 1.27 is(are) attached.

Filing Fee Calculation (50% of A or B above) \$\_\_\_\_\_

12. Request for International-Type Search (37 CFR 1.104(d))

\_\_\_ Please prepare an international-type search report for this application at the time when national examination on the merits takes place.

13. Fee Payment Being Made At this Time

X Not Enclosed

\_\_\_ No filing fee is to be paid at this time. (This and the surcharge required by 37 CFR 1.16(e) can be paid subsequently.)

\_\_\_ Enclosed \$\_\_\_\_\_

\_\_\_ basic filing fee \$\_\_\_\_\_

\_\_\_ recording assignment (\$40.00; 37 CFR 1.21(h)(1)) \$\_\_\_\_\_

\_\_\_ petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached. (\$140.00; 37 CFR 1.47 and 1.17(h)) \$\_\_\_\_\_

\_\_\_ for processing an application with a specification in a non-English language. (\$130.00; 37 CFR 1.52(d) and 1.17(k)) \$\_\_\_\_\_

\_\_\_ processing and retention fee (\$130.00; 37 CFR 1.53(d) and 1.21(l)) \$\_\_\_\_\_

\_\_\_ fee for international-type search report (\$40.00; 37 CFR 1.21(e)) \$\_\_\_\_\_

\_\_\_ fee for petition to make application special \$\_\_\_\_\_

Total fees enclosed \$\_\_\_\_\_



PATENT  
203/268

**14. Method of Payment of Fees**

- ☐ Check in the amount of \$\_\_\_\_\_
- ☐ Charge Account No. 12-2475 in the amount of \$\_\_\_\_\_. A duplicate of this transmittal is attached.

**15. Authorization to Charge Additional Fees**

- ☐ The Commissioner is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Account No. 12-2475.
- ☐ 37 CFR 1.16(a) or (g) (filing fees)
- ☐ 37 CFR 1.16(b), (c) and (d) (presentation of extra claims)
- ☐ 37 CFR 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)
- ☐ 37 CFR 1.17 (application processing fees)
- ☐ 37 CFR 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 CFR 1.311(b))

**16. Instructions As To Overpayment**

- ☐ credit Account No. 12-2475.
- ☐ refund

Hope E. Melville  
Reg. No. 34,874

LYON & LYON  
611 West Sixth Street  
34th Floor  
Los Angeles, California 90017  
Tel. No. (213) 489-1600